

PEST MANAGEMENT ALLIANCE GRANT PROGRAM

PART 3 | ADMINISTRATIVE PROCEDURES AND REQUIREMENTS

INTRODUCTION

The Alliance Grant's Administrative Procedures and Requirements set forth the procedures for administering the Grant. The following administrative procedures and requirements are incorporated into the grant and describe the administrative reporting requirements, instructions for billing and receiving payment, and fiscal control procedures that are to be followed in implementing the Grant.

The Grantee's Principal Investigator invoices the Alliance Grant Program to receive reimbursement for work set forth in the Scope of Work (Exhibit A) and the Task List and Timeline (Attachment 4). The Alliance Grant Invoice, Invoice Report, and supporting documentation, is sent to the Grant Manager, who along with the Grant Program Analyst, will review, approve, facilitate payment, and track expenditures per line item.

GENERAL GUIDELINES

The Grantee shall not request disbursement for any cost until such cost has been incurred and has been paid or is due and payable by the Grantee. Invoices shall be submitted at a minimum of one (1) time per quarter or at a maximum of one (1) time per month whichever is most convenient for the Grantee.

Payments can only be made to the Grantee; therefore, it is the responsibility of the Grantee to pay all staff, subcontractors, and/or vendors for goods and services rendered.

Grant dollars only fund approved expenses incurred after issuance of the Notice to Proceed and prior to May 9, 2014. Any invoice received after May 9, 2014 will not be paid.

Any changes to the Grant, once a *Notice to Proceed* has been issued, may require an amendment in writing. Budget line-item (Attachment 5) variations aggregating ten percent (10%) or less of the total grant award, may be made during the term of this agreement with prior written approval from the Grant Manager without an amendment. Any budget line-item variation aggregating greater than ten percent (10%) of the total grant award shall require an amendment. It is the Grantee's responsibility to ensure that all claimed costs are appropriate by reviewing the Grant and associated documents, newsletters, e-mails, and other information updates supplied by DPR. All claimed costs shall be directly related to implementation and operation of the Project.

COMMUNICATION

Communications with the Grant Manager and Grant Program Analyst regarding the Administrative Procedures and Requirements described in this section should be conducted via e-mail to record issues discussed and the resolution achieved for future reference.

INVOICING GRANT EXPENDITURES

ALLIANCE GRANT INVOICE

Upon issuance of the Notice to Proceed, the Grant Program Analyst shall send an electronic version of an customized invoice titled, Alliance Grant Invoice for <grant title> to the Principal Investigator. The Alliance Grant Invoice will incorporate the relevant information per the approved Work Plan and Line Item Budget. Each time an invoice has been submitted and processed, a new Alliance Grant Invoice will be sent to the Principal Investigator with updated information provided by the Grant Program Analyst.

To assure prompt and accurate payment, the Alliance Grant Invoice must be used to request reimbursement. *Any other template version submitted will be rejected.*

The Alliance Grant withholds ten (10) percent of the total grant award amount. These withheld funds are eligible for release by the Alliance Grant only after the Grant Manager is satisfied all work is complete and the final report is received and approved. Because it is equally the responsibility of the Grantee to track the total amount withheld during the Grant term, the Grantee will need to submit a separate Alliance Grant Invoice at the end of the Grant term for the ten (10) percent withheld.

All grant invoices must be received by **May 9, 2014**, or the final invoice payment will be void.

ALLIANCE GRANT PROGRESS REPORT

The Alliance Progress Report (Attachment 7) is a one-to-two-page summary of work used to support the Alliance Grant Invoice (Attachment 8), and shall be submitted to the Grant Manager quarterly. The invoice report provides a brief description of the work performed, milestones achieved, and any problems encountered in the performance of the work.

- An Alliance Grant Invoice along with an Alliance Progress Report shall be submitted even if no expenditures occur during a billing period.
- The narrative portion of the report must contain sufficient information to support invoiced charges during the billing period.
- Only expenses covered in the billing period may be claimed. Expenses from previous billing periods must be submitted on a separate Grant Invoice marked "Supplemental."
- Grantee must submit receipts for any single item purchased for the project that exceeds \$50.00.

INVOICE SUPPORTING DOCUMENTATION

The supporting documentation (e.g., legible copies of required receipts) for the Alliance Grant Invoice provides the basis for maintaining auditable files by properly accounting for Grant fund usage. The Grant Program Analyst may request more detailed information to support items invoiced if deemed necessary.

The following documents may be used to support budget line-item expenditures:

Personnel Services

Personnel Services include salaries and benefits for wage-earning personnel. Benefits are calculated as a percentage of salaries that may include contributions made for sick leave, retirement, or insurance. These services shall be broken down by classification or title, rate of pay, number of hours to be delegated to the grant project, and percentage being charged to the Alliance Grant funds.

- A summary of personnel expenses is to be provided in the Alliance Progress Report (Attachment 7).
- Employee timesheets

Operating Expenses

Operating Expenses may include but are not limited to office supplies, in-house printing, and postage. Supporting documents shall be submitted along with the Alliance Grant Invoice for any expenditure costing \$50.00 or more.

- Legible copies of invoices, store receipts, and billing statements. (Not applicable to UC.)
- Types of operating expenses must be listed in the Alliance Progress Report (Attachment 7).

Travel

- Travel includes the cost of lodging, transportation, subsistence, and other associated costs incurred by the management team and team partners during the project term. Travel will be reimbursed at or below the rate allowed for State employees, as specified in the Grant Agreement, Exhibit D.

- A completed Travel Summary (expense) Log (Attachment 10) shall include supporting documentation (e.g., appropriate receipt copies) in excess of \$25.00. (Note: UC travel rates are reimbursed per SCM Section 3.18.)

Equipment

Equipment is defined as any durable, reusable item purchased over \$500. (Not applicable to UC unless equipment is specified in the UC proposal.)

- Approved in the original budget or with prior written approval of the Grant Manager.
- Billing statements, invoices, and receipts.

Contracts

Professional and Consultant Services (subcontracts) include the costs for any consultants needed by the contractor to complete any or all tasks.

- Copy of executed contract
- Billing statements, invoices, and receipts.

Construction

Construction expenses include the estimated costs of materials and labor.

- Billing statements, invoices, and receipts.

Overhead

Overhead consists of a reasonable percentage of all costs, not directly related to the project, but necessary to run your agency while completing your project. Overhead is not to exceed fifteen (15) percent of the total grant amount and cannot be calculated against subcontracted services or equipment.

HELPFUL HINTS FOR SUBMITTING INVOICES

Listed below are some of the problems that have caused delays in processing invoices. Careful review of the Alliance Grant Invoice and the supporting documents will help to eliminate delays.

Overspending a line item. Careful review of the line-item allocation approved in the Alliance Grant Agreement and reflected on the Invoice can ensure that overspending does not occur.

Making incorrect calculations. Make sure that all expenditures are calculated correctly and that the dollar amount matches that of the supporting documentation.

Providing incorrect or inconsistent billing dates. Review the documents to make sure that the reporting period is consistent with the Alliance Grant Report, Alliance Grant Invoice, and supporting documentation.

Using the wrong invoice template. The Grant Program Analyst will provide a customized invoice template to the Principal Investigator when the grant is executed. This is the only invoice template that will be accepted for reimbursement payments.

Providing insufficient supporting documentation. Documentation (e.g., receipts, invoices, Alliance Progress Report) must accompany the Grant Invoices to support all charges over \$50. (Not applicable to UC.)

PROCESSING TIME

There is a 45-day turnaround for processing invoices for payment from the time the invoice is received by the Grant Manager.

INVOICE DISPUTES CAN SUSPEND THE PAYMENT PROCESS

The 45-day processing time resumes when the dispute is resolved. The Grant Program Analyst along with the Grant Manager may issue an Invoice Dispute Notification Form (Attachment 9) when any of the following occurs:

- When Grantee overspends a line item.
- When Grantee provides insufficient documentation to support invoice charges.
- When Grantee is in noncompliance with the agreement, which includes invoicing items not included on the Work Plan/Budget without written Grant Manager approval.

INELIGIBLE PROJECT COSTS

Any expense not directly related to the Grant Project is ineligible. This includes, but is not limited to:

- Costs incurred before issuance to the Notice to Proceed or after the end of the grant term;
- Costs not included in the approved budget;
- Costs currently covered by another grant, or contract;
- Overtime costs (except for local public agency staffing during specially scheduled evening or weekend events that are pre-approved in writing by the Alliance Grant Manager, when law or labor contract requires overtime compensation);
- Out-of-state travel;
- Any food or beverages (e.g., as part of meetings, workshops, training, or events);
- Public education costs not directly associated with the concept of the approved project;
- Profit or markup by the Grantee or partner;
- Purchase of cell phones, pagers, personal electronic and/or digital assistive devices;
- Overhead costs above fifteen percent (15 percent) of the Alliance Grant amount, excluding equipment and contracts;
- Any costs that are not consistent with local, state, and federal guidelines, regulations, and laws.

GRANT PAYMENTS

All payment requests must include:

- An original Alliance Grant Invoice (Attachment 8) signed by the authorized individual;
- A completed Alliance Progress Report (Attachment 7);
- A completed Travel Summary Log, if requesting reimbursement for travel expenses (Attachment 10);
- Documentation supporting all claimed expenditures, legible copies of invoices, billing statements, and receipts for expenses of \$50.00 or more. (Not applicable to UC.)

ALL FORMS MUST HAVE ORIGINAL SIGNATURES IN BLUE INK

AUDIT/FISCAL REVIEW

An audit/fiscal review shall be conducted by the Grant Program Analyst during the term of the agreement. The focus will be to review original expenditure documents and the formulas or percentages used to calculate the Alliance Grant funds billed. Original documents to be reviewed may include but are not limited to:

- Personnel Services reports
- Procurement receipts

- Billing statements
- Subcontract invoices
- Travel claims

PROJECT COMPLETION

Grant closure will occur: (1) upon the determination by the Grant Manager that all requirements of the Grant have been satisfactorily completed, or (2) the end of the Grant term, whichever comes first. The final report shall be approved before the final payment request is forwarded to the State Controller's Office for payment.

The Grantee must submit a separate Alliance Invoice at the end of the Grant term requesting the ten (10) percent withheld on or before May 9, 2014.

EXCEPTIONS TO THESE ADMINISTRATIVE PROCEDURES AND REQUIREMENTS

Any exceptions to these *Administrative Procedures and Requirements* must be requested and approved in writing by the Grant Manager before any grant fund expenditures. The request will be reviewed and a determination made as soon as possible, usually within ten (10) working days of receipt of the request.